

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

CHM-013M1

First Inventor

Kenneth D. R. Setchell et al.

Title

Compositions and Products Containing S-Equol, and
Methods for Their Making

Express Mail Label No.

EV 243854130 US

22212 U.S. PTO
10/625934

07/24/03

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO:

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

1. ☒ Fee Transmittal Form (e.g. PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status – See 37 CFR 1.27
3. ☒ Specification [Total Pages **49**]
(preferred arrangement set forth below)
- Descriptive Title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R&D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claims
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **6**]
5. ☒ Oath or Declaration [Total Pages **4**]
- a. ☒ Newly executed (original copy)
- b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 Completed)
- i. ☐ **DELETION OF INVENTOR(S)** Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet (see 37 CFR 1.76)

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. ☐ Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ Paper
- c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee)
☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS/PTO-SB08 or SB-1449)
☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i).
Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application no.

Prior Application information:

Examiner:

Group Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

26868

(insert Customer Number or attach bar code label here)

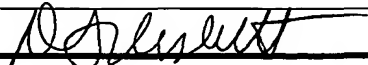
Name (print/type)

Daniel F. Nesbitt

Registration No. (Attorney/Agent)

33,746

Signature



Date

July 24, 2003

<h1 style="margin: 0;">FEE TRANSMITTAL</h1> <p style="margin: 5px 0;">(Patent Fees are subject to annual revision)</p>		Complete if Known	
		Application Number	
		Filing Date	July 24, 2003
		First Named Inventor	Kenneth D. R. Setchell et al.
		Examiner Name	
		Art Unit	
		Attorney Docket No.	CHM-013M1
<input type="checkbox"/> Applicant claims small entity status. (See 37 CFR 1.27)			
TOTAL AMOUNT OF PAYMENT		\$1584.00	

<p>METHOD OF PAYMENT (check all that apply)</p> <p> <input type="checkbox"/> Check <input checked="" type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input type="checkbox"/> Other <input type="checkbox"/> None </p> <p> <input type="checkbox"/> Deposit Account: Deposit Account Number Deposit Account Name </p> <p>The Commissioner is authorized to: (check all that apply)</p> <p> <input checked="" type="checkbox"/> Charge fee(s) indicated below <input checked="" type="checkbox"/> Credit any overpayments </p> <p> <input type="checkbox"/> Charge any additional fee(s) during the pendency of this application <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above identified deposit account </p> <hr/> <p style="text-align: center;">FEE CALCULATION</p> <p>1. BASIC FILING FEE</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Large Entity</th> <th style="text-align: left;">Small Entity</th> <th style="text-align: left;">Fee Description</th> <th style="text-align: right;">Fee Paid</th> </tr> <tr> <th style="text-align: left;">Fee Code</th> <th style="text-align: left;">Fee Code</th> <th></th> <th></th> </tr> </thead> <tbody> <tr> <td>1001</td> <td>2001</td> <td>Utility filing fee</td> <td style="text-align: right;">750.00</td> </tr> <tr> <td>1002</td> <td>2002</td> <td>Design filing fee</td> <td style="text-align: right;">.00</td> </tr> <tr> <td>1003</td> <td>2003</td> <td>Plant filing fee</td> <td style="text-align: right;">.00</td> </tr> <tr> <td>1004</td> <td>2004</td> <td>Reissue filing fee</td> <td style="text-align: right;">.00</td> </tr> <tr> <td>1005</td> <td>2005</td> <td>Provisional filing fee</td> <td style="text-align: right;">.00</td> </tr> <tr> <td colspan="3" style="text-align: right;">Subtotal (1)</td> <td style="text-align: right;">(\$ 750.00)</td> </tr> </tbody> </table> <p>2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th></th> <th style="text-align: center;">Extra Claims</th> <th></th> <th style="text-align: center;">Fee from Below</th> <th></th> <th style="text-align: right;">Fee Paid</th> </tr> </thead> <tbody> <tr> <td>Total Claims</td> <td style="text-align: center;">43</td> <td>- 20** =</td> <td style="text-align: center;">23</td> <td>X</td> <td style="text-align: center;">18</td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> <td style="text-align: right;">= 414.00</td> </tr> <tr> <td>Independent Claims</td> <td style="text-align: center;">8</td> <td>- 3** =</td> <td style="text-align: center;">5</td> <td>X</td> <td style="text-align: center;">84</td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> <td style="text-align: right;">= 420.00</td> </tr> <tr> <td>Multiple Claims</td> <td></td> <td></td> <td></td> <td></td> <td style="text-align: right;">= .00</td> </tr> </tbody> </table> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Large Entity</th> <th style="text-align: left;">Small Entity</th> <th style="text-align: left;">Fee Description</th> <th style="text-align: right;">Fee Paid</th> </tr> <tr> <th style="text-align: left;">Fee Code</th> <th style="text-align: left;">Fee Code</th> <th></th> <th></th> </tr> </thead> <tbody> <tr> <td>1202</td> <td>2202</td> <td>Claims in excess of 20</td> <td></td> </tr> <tr> <td>1201</td> <td>2201</td> <td>Independent claims in excess of 3</td> <td></td> </tr> <tr> <td>1203</td> <td>2203</td> <td>Multiple dependent claim, if not paid</td> <td></td> </tr> <tr> <td>1204</td> <td>2204</td> <td>**Reissue independent claims over original patent</td> <td></td> </tr> <tr> <td>1205</td> <td>2205</td> <td>**Reissue claims in excess of 20 and over original patent</td> <td></td> </tr> <tr> <td colspan="3" style="text-align: right;">Subtotal (2)</td> <td style="text-align: right;">(\$ 834.00)</td> </tr> </tbody> </table> <p>** or number previously paid, if greater; For Reissues, see above</p>	Large Entity	Small Entity	Fee Description	Fee Paid	Fee Code	Fee Code			1001	2001	Utility filing fee	750.00	1002	2002	Design filing fee	.00	1003	2003	Plant filing fee	.00	1004	2004	Reissue filing fee	.00	1005	2005	Provisional filing fee	.00	Subtotal (1)			(\$ 750.00)		Extra Claims		Fee from Below		Fee Paid	Total Claims	43	- 20** =	23	X	18						= 414.00	Independent Claims	8	- 3** =	5	X	84						= 420.00	Multiple Claims					= .00	Large Entity	Small Entity	Fee Description	Fee Paid	Fee Code	Fee Code			1202	2202	Claims in excess of 20		1201	2201	Independent claims in excess of 3		1203	2203	Multiple dependent claim, if not paid		1204	2204	**Reissue independent claims over original patent		1205	2205	**Reissue claims in excess of 20 and over original patent		Subtotal (2)			(\$ 834.00)	<p>3. 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1460	1460		Petitions to the Commissioner	<input type="checkbox"/>																																																																																																																																																																																																																																																																						
1807	1807		Processing fee under 37 CFR 1.17(q)	<input type="checkbox"/>																																																																																																																																																																																																																																																																						
1806	1806		Submission of Inform. Disc. Statement	<input type="checkbox"/>																																																																																																																																																																																																																																																																						
8021	8021		Recording each patent assignment	<input type="checkbox"/>																																																																																																																																																																																																																																																																						
1809	2809		Filing a submission after final rejection (37 CFR 1.29(a))	<input type="checkbox"/>																																																																																																																																																																																																																																																																						
1810	2810		For each additional invention to be examined (37 CFR 1.129(b))	<input type="checkbox"/>																																																																																																																																																																																																																																																																						
1801	2801		Request for Continued Examination (RCE)	<input type="checkbox"/>																																																																																																																																																																																																																																																																						
1802	1802		Request for expedited examination of a design application	<input type="checkbox"/>																																																																																																																																																																																																																																																																						
Other fee (specify) _____				<input type="checkbox"/>																																																																																																																																																																																																																																																																						
*Reduced by Basic Filing Fee Paid																																																																																																																																																																																																																																																																										
Subtotal (3)				(\$ 0.00)																																																																																																																																																																																																																																																																						

SUBMITTED BY		Complete (if applicable)	
Name (print/type)	Daniel F. Nesbitt	Registration No.	33,746
Signature		Telephone	513-229-0383
		Date	July 24, 2003